

A

Please type a plus sign (+) inside this box →

PTO/SB/05 (4/98)  
Approved for use through 09/30/2000. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE  
collection of information unless it displays a valid OMB control number.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No.	15-0216
---------------------	---------

First Inventor or Application Identifier	Kenneth W. Aull
--	-----------------

<i>Title</i>	See 1 in Addendum
--------------	-------------------

Express Mail Label No. EK745231958US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

- ☒ \* Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)

2. ☒ Specification [Total Pages 41]  
(preferred arrangement set forth below)

- Descriptive title of the Invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to Microfiche Appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (*if filed*)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

3. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets  ]

4. Oath or Declaration [Total Pages   ]

- a. ☐ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d))  
(for continuation/divisional with Box 16 completed)
- i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting  
inventor(s) named in the prior application,  
see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

\* NOTE FOR ITEMS 1 & 13 IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

5. ☐ Microfiche Computer Program (*Appendix*)
6. Nucleotide and/or Amino Acid Sequence Submission  
(*if applicable, all necessary*)
- a. ☐ Computer Readable Copy
- b. ☐ Paper Copy (identical to computer copy)
- c. ☐ Statement verifying identity of above copies

### ACCOMPANYING APPLICATION PARTS

7. ☐ Assignment Papers (cover sheet & document(s))
8. ☐ 37 C.F.R. § 3.73(b) Statement ☒ Power of Attorney  
(when there is an assignee)
9. ☐ English Translation Document (if applicable)
10. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
11. ☐ Preliminary Amendment
12. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
13. ☐ \* Small Entity Statement(s) ☐ Statement filed in prior application  
(PTO/SB/09-12) Status still proper and desired
14. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
15. ☒ Other: Copy of Unexecuted Declaration

- 16. If a CONTINUING APPLICATION,** check appropriate box, and supply the requisite information below and in a preliminary amendment:

- ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. /

Prior application information: Examiner


Group / Art Unit:

**For CONTINUATION or DIVISIONAL APPS only:** The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 17. CORRESPONDENCE ADDRESS

- ☐ Customer Number or Bar Code Label (Insert Customer No. or Attach bar code label here) or ☒ Correspondence address below

Name	Connie M. Thousand					
Address	TRW Inc.					
	Law Dept.					
	One Space Park, Bldg. E2/6051					
City	Redondo Beach		State	CA	Zip Code	90245
Country	U.S.A.		Telephone	310-813-1550	Fax	310-812-2687

Name (Print/Type)	Connie Thousand	Registration No. (Attorney/Agent)	43,191
Signature		Date	10/16/00

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

# FEE TRANSMITTAL

## for FY 2000

Patent fees are subject to annual revision  
Small Entity payments must be supported by a small entity statement,  
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.  
See 37 C.F.R. §§ 1.27 and 1.28.

TOTAL AMOUNT OF PAYMENT (\$2,480.00)

### Complete if Known

Application Number  
Filing Date October 16, 2000  
First Named Inventor Kenneth W. Aull  
Examiner Name Unassigned  
Group / Art Unit N/A  
Attorney Docket No. 15-0216

### METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 20-1515  
Deposit Account Name TRW Inc.

☒ Charge Any Additional Fee Required  
Under 37 CFR §§ 1.16 and 1.17

2. ☐ Payment Enclosed:

☐ Check ☐ Money Order ☐ Other

### FEE CALCULATION

#### 1. BASIC FILING FEE

Large Entity Code	Large Entity Fee (\$)	Small Entity Code	Small Entity Fee (\$)	Fee Description	Fee Paid
101	690	201	345	Utility filing fee	710.00
106	310	206	155	Design filing fee	
107	480	207	240	Plant filing fee	
108	690	208	345	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$710.00)

#### 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
65	-20** = 45	18	810
15	-3** = 12	80	960
Multiple Dependent			0

\*\*or number previously paid, if greater; For Reissues, see below

Large Entity Code	Large Entity Fee (\$)	Small Entity Code	Small Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	78	202	39	Independent claims in excess of 3
104	260	204	130	Multiple dependent claim, if not paid
109	78	209	39	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$1,770.00)

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

Large Entity Code	Large Entity Fee (\$)	Small Entity Code	Small Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	0.00
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	0.00
139	130	139	130	Non-English specification	0.00
147	2,520	147	2,520	For filing a request for reexamination	0.00
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	0.00
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	0.00
115	110	215	55	Extension for reply within first month	0.00
116	380	216	190	Extension for reply within second month	0.00
117	870	217	435	Extension for reply within third month	0.00
118	1,360	218	680	Extension for reply within fourth month	0.00
128	1,850	228	925	Extension for reply within fifth month	0.00
119	300	219	150	Notice of Appeal	0.00
120	300	220	150	Filing a brief in support of an appeal	0.00
121	260	221	130	Request for oral hearing	0.00
138	1,510	138	1,510	Petition to institute a public use proceeding	0.00
140	110	240	55	Petition to revive - unavoidable	0.00
141	1,210	241	605	Petition to revive - unintentional	0.00
142	1,210	242	605	Utility issue fee (or reissue)	0.00
143	430	243	215	Design issue fee	0.00
144	580	244	290	Plant issue fee	0.00
122	130	122	130	Petitions to the Commissioner	0.00
123	50	123	50	Petitions related to provisional applications	0.00
126	240	126	240	Submission of Information Disclosure Stmt	0.00
581	40	581	40	Recording each patent assignment per property (times number of properties)	0.00
146	690	246	345	Filing a submission after final rejection (37 CFR § 1.129(a))	0.00
149	690	249	345	For each additional invention to be examined (37 CFR § 1.129(b))	0.00
Other fee (specify)					0.00
Other fee (specify)					0.00

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$0.00)

### SUBMITTED BY

Name (Print/Type)	Registration No. (Attorney/Agent)	Telephone
Connie M. Thousand	43,191	310-813-1550
Signature		Date
Connie Thousand		10/16/00

### WARNING:

Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231

Attachment to PTO/SB/05 (4/98) Utility Patent Application  
Transmittal

1. SYSTEM AND METHOD FOR USAGE OF A ROLE CERTIFICATE IN  
ENCRYPTION, AND AS A SEAL, DIGITAL STAMP, AND A SIGNATURE

005107" 44505960

CERTIFICATE OF MAILING BY "EXPRESS MAIL"

Express Mail Mailing Label No. EK745231958US

Date of Deposit 10/16/00

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" Service under 37 CFR §1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231

Lorna L. Schott  
(Typed or printed name of person mailing)

# **SYSTEM AND METHOD FOR USAGE OF A ROLE CERTIFICATE IN ENCRYPTION, AND AS A SEAL, DIGITAL STAMP, AND A SIGNATURE**

## **CROSS-REFERENCE TO RELATED APPLICATIONS**

5

This application claims the benefit of U.S. Provisional Application No. 60/210,462, filed June 9, 2000, Provisional Application No. 60/210,552, filed June 9, 2000, and Provisional Application No. 60/229,336, filed September 1, 2000, the contents of which are expressly incorporated by reference herein.

10

## **BACKGROUND OF THE INVENTION**

### **Field of the Invention**

15

The invention relates to a system and method for usage of a role certificate in encryption, and as a seal, digital stamp, and a signature. More particularly, the invention employs a method and computer program in which a role certificate enables more than one individual or entity of an identifiable group to encrypt and decrypt information as well as sign, stamp or seal any information using the same role certificate.

20

### **Background**

For centuries individuals, governments, and business entities have searched for mechanisms and techniques whereby sensitive information may be transmitted to authorized parties over long distances and still remain secure. The problem faced by the foregoing entities is how can information be sent to the individual or

entities that require it and still be assured that unauthorized parties may not be able to comprehend the transmitted information should they intercept it. Early methods of securing information have employed scrambling techniques, lookup tables, substitution ciphers, and code books in which letters or terms would be substituted for the original letters and terms in the information. These techniques frequently required that both the sender and receiver of information have access to the same "code book." One danger in such a technique is that the code book would fall into unauthorized hands.

In the early twentieth century, any particular during World War II, code books were replaced by electromechanical cipher machines. Both the sender and receiver would have an identical cipher machine used to encrypt and decrypt messages sent. In order to make it more difficult to decrypt these messages the cipher machines have the ability to change the cipher used in a message or change the cipher used for every few words within a message. In order to accomplish this the cipher machine would need to know the initial state or key utilized to encrypt the message.

In recent years the cipher machines have been replaced by digital encryption algorithms in which both the sender and receiver have an identical copy of the digital encryption algorithm and a common key used to encrypt and decrypt messages. Both the encryption algorithm and key are held secret by both the sender and receiver.

More recently another encryption technique has been developed in which two separate keys are used for encryption and decryption. A public key is transmitted freely to whoever requires it and is used to encrypt messages for a particular receiver. The receiver would have an associated private key which may be used to decrypt the message encrypted with the associated public key. For each public key there is only one private key and for each private key there is only

one public key. When sending a message to several recipients it is necessary to have each recipient's public key. The message would then be separately encrypted using each recipient's public key and transmitted to that particular recipient. Therefore, if ten separate entities are to receive the same message, ten  
5 separate messages would be transmitted with each message encrypted with individual's public key. With the advent of the Internet, such a public key infrastructure has gained significant acceptance as discussed in request for comments number 2459, by Ford et al., entitled "Internet X.509 Public Key Infrastructure", herein incorporated in its entirety by reference.

10 In addition to the need for the encryption and decryption of messages, with the advent of electronic mail and the Internet a need has developed for a secure mechanism to indicate approval and acceptance by an individual. In the past an individual would typically show his approval or acceptance of such items as a contract or an order via a handwritten signature, a stamp, or a seal which would  
15 only be held by that individual. Anyone else that attempted to imitate such a signature, stamp, or seal would be subject to criminal penalties. With the advent of electronic mail and the Internet, a need has arisen to take advantage of the ease and speed of electronic mail to indicate, by a person or entity with proper authority, approval or acceptance of a contract or purchase. This has come to be known as a  
20 digital signature in which an individual may digitally sign a document.

This digital signature capability has been implemented using the same public key infrastructure previously discussed. However, instead of an entire document being encrypted, the document itself is passed through a one-way hashing algorithm that produces a small document, referred to as a digest. This digest is  
25 then encrypted using the individual's private key, also known as a private signing key, and is appended to the document. The receiver of the document can verify the authenticity of the digital signature (digest) by stripping the signature from the

document and recomputing the hash function on the document to generate an as received digest. Using public signing key, included in the document or previously received, it is possible to decrypt the digest of the document and compare it to the digest as received. If the two digest match, then the signature is authenticated.

5 Therefore, in using the aforementioned public key infrastructure, it is possible to both encrypt and decrypt messages as well as digitally sign documents.

However, in the aforementioned public key infrastructure, in order for a group of individuals or entities to transmit and receive the encrypted messages each individual must have created a key pair having a public key and a private key.

10 Further, each individual or entity in a group is also required to have a separate public signing key and a private signing key in order to digitally sign documents. In order for other members of the group to be able to decrypt messages received it is necessary for members of the group to exchange key pairs including the private key. This may be necessary when a member of the group is not in the office due to

15 illness or travel. Where such an exchange of key pairs does not take place, when an urgent encrypted message comes into, for example, the office of finance, human resources, or an engineering group in the corporation, only the person holding the private key may decrypt the message. When that person is unavailable, that message will not be decrypted and a prompt response will not be received by the

20 sender. However, when key pairs are exchanged by members of a group, than all members who possess an individuals private key may decrypt all messages sent to that person, regardless of the nature the message or its sensitivity. This creates significant problems for businesses that need to respond quickly to customer requests and in which customer confidences must be maintained. This may most

25 acutely be seen in law offices, medical offices and the military where delay in delivering a response may be very costly. Further, it is cumbersome for a large group of individuals or entities to exchange key pairs with one another. For

example, where group contains 30 individuals, a total of 30 times 30, or 900 exchanges of key pairs must take place in order for anyone in the group to be able to decrypt any message received by any other member of the group.

Regarding the exchange of private signing keys, it to be noted that a similar need exists for members of a group to be able to sign documents on behalf of the group in certain instances. For example, the office of financial affairs for a corporation receives requests for approval of purchasing orders. Such purchasing orders may be for items which are frequently required by the corporation and for which funds have been allocated. However, it should not be necessary for the chief financial officer to approve each and every transaction. Further, the disbursement of private signature keys to all members of the office of finance for the corporation may be very unwise. What this means is that a low-level purchasing officer may approve large expenditures using the vice president of finances private signature key. In addition, this invites and perhaps even encourages fraud and embezzlement.

Further, when an organization maintains separate key pairs for both encryption and signature purposes this further adds to the complexity of maintaining and disbursing both private and public keys for encryption and signatures. Ideally, a single digital certificate should be used for both encryption and signature purposes by all authorized members of a group. In addition, policies should be established to indicate the limitations associated with a group digital signature. For example, a policy for purchase approval on a digital signature from the office of finance in a corporation may be limited to purchases of no greater than \$100,000. Beyond this limit a personal signature of the chief financial officer is required to approve such a purchase. In addition, this policy should be publicly available, at least within the organization, so that others may verify that the digital signature issued by a group is valid under the policy.



Therefore, what is needed is a method and computer program in which digital "role" certificates may be used for both encryption and signature purposes for a group. The possession of such a role certificate, by an authorized member of a group issuing the role certificate, should enable that person to decrypt messages sent to others within the group that were encrypted using the digital certificate. Further, this method and computer program should enable authorized members of a group to sign on behalf of the group within limits set by publicly available policies. Still further, this system and computer program should create processes that allow the creation and receipt of role certificates to be used as an organizational stamp and for organizational encryption. This system and computer program should contain procedures for replacement of such a role certificate, revocation of a role certificate, recovery a role certificate, terminating of roles, and recovery of terminated roles.

#### Summary of the Invention

An embodiment of the present invention provides for a method of creating a role certificate by a user. This method begins by transmitting a role approval form filled out and digitally signed by the user using a personal digital signature to at least one personal role approval. The role approval form is digitally signed by the personal role approval using a personal digital signature. The role certificate is created upon receipt of the role approval form signed by the user and all personal role approvals. The user is notified of the availability of the role certificate. Then the role certificate is transmitted to the user

Further, an embodiment of the present invention is a method of using a role certificate as an organizational stamp and for organizational encryption by several role members of a group. This begins by a role member filling out an electronic form. The role member then digitally signs the electronic form by the role member

using the role certificate. The role member also digitally signs the electronic form by the role member using a personal signature certificate. Thereafter, the electronic form is transmitted to an entity.

A still further embodiment of the present invention is a method of replacing an expiring role certificate. A list of roles is displayed to a user who is either a role member or a role administrator. The user is a member of a group authorized to utilize the role certificate as a group stamp and for encryption which may be decrypted by any group members. A role is selected which is about to expire for renewal by the user. It is then determined if the user is authorized to renew the role based upon verification of the user's personal digital signature. A new role certificate is generated having a private and public key. The new role certificate is then transmitted to the user.

A still further embodiment of the present invention is a method of revoking a role certificate used as an organizational stamp and for organizational encryption by authorized members of the organization. This method begins by transmitting a signature certificate to a registration web server by a user. The registration web server then authenticates the user is still a member of the organization by accessing a directory. Roles are then listed of which the user is a role member or a role authority. Finally, the role certificate associated with the role is removed from the directory database.

Another embodiment of the present invention is a method of recovery of an expired role certificate associated with the role used for organizational encryption and as an organizational stamp. A request is transmitted to recover the expired role certificate along with a digital signature from a role member. A role member is an entity having a right to digitally sign organizational documents using the role certificate and decrypting information sent to members of the organization which has been encrypted using the role certificate. A list of all roles that the role member

is listed as a role member on is provided. The role member selects the expired role certificate from the list of roles for recovery. A key recovery authority is contacted for a copy of the role certificate. The role certificate is transmitted to the role member.

5 Another embodiment of the present invention is a method of revoking a role certificate and an associated role by a role administrator. This method begins by transmitting a request to revoke the role certificate and the associated role by the role administrator for the role certificate along with a signature certificate for the role administrator. A database is searched for all role certificates in which the role administrator is listed as a role administrator. The list is then displayed to the role administrator of all role certificates discovered. The role administrator then selects a role certificate to be removed. Both the role certificate and the role are deleted from the database.

10 A still further embodiment of the present invention is a method of recovering a former role and an associated role certificate by a role administrator. This method entails identifying a role certificate to be recovered. Searching a database to determine if any role members associated with the role certificate are still with the organization. Transmitting to at least one recovery agent a request for approval for the recovering of the role certificate when no role members are discovered to be in the organization. Receiving approval from the at least one recovery agent for recovery of the role certificate. Transmitting to the at least one recovery agent the role certificate retrieved when approved by the recovery agent. Then, transmitting the role certificate to the role administrator by the recovery agent.

20 These and other features of this system, method and computer program will become more apparent from the following description when taken in connection with the accompanying drawings which show, for purposes of illustration only, examples in accordance with the present invention.

### Brief Description of the Drawings

The foregoing and a better understanding of the present invention will become apparent from the following detailed description of exemplary  
5 embodiments and the claims when read in connection with the accompanying drawings, all forming a part of the disclosure of this invention. While the foregoing and following written and illustrated disclosure focuses on disclosing example embodiments of the invention, it should be clearly understood that the same is by way of illustration and example only and the invention is not limited thereto. The  
10 spirit and scope of the present invention are limited only by the terms of the appended claims.

The following represents brief descriptions of the drawings, wherein:

FIG. 1 is a module configuration diagram of the software, firmware, and hardware used in the embodiments of the present invention;

15 FIG. 2 is a flowchart of example embodiment of the process for obtaining a role certificate in the present invention;

FIG. 3A is a flowchart of an example embodiment of the process for using a role certificate as an organizational stamp on a form in a web server in the present invention;

20 FIG. 3B is a flowchart of an example embodiment of the process for using a role certificate as an organizational stamp on a form in an e-mail in the present invention;

FIG. 4A is a flowchart of an example embodiment of the process for using a role certificate for organizational encryption in the receiving and sending of  
25 information in the present invention;

FIG. 4B is a flowchart of an example embodiment of the process for using a role certificate for organizational encryption in the receiving and sending of

information in the present invention;

FIG. 5 is a flowchart of an example embodiment of the process for replacing an expiring role certificate in the present invention;

FIG. 6 is a flowchart of an example embodiment of the process for revoking a role certificate in the event of suspected compromise of the role certificate in the present invention;

FIG. 7 is a flowchart of an example embodiment of the process for recovery of a role certificate in the present invention;

FIG. 8 is a flowchart of an example embodiment of the process for terminating a role in the present invention; and

FIG. 9 is a flowchart of an example embodiment of the process for recovery of a role certificate in the present invention;

### **DETAILED DESCRIPTION**

Before beginning a detailed description of the subject invention, mention of the following is in order. When appropriate, like reference numerals and characters may be used to designate identical, corresponding or similar components in differing figure drawings. Further, in the detailed description to follow, exemplary sizes/models/ values/ranges may be given, although the present invention is not limited to the same.

Before entering into a discussion of the flowcharts a brief discussion of the nature and function and structure of a role certificate is necessary. As will become apparent from review of FIGs. 2 through 9, the embodiments of the present invention rely on the usage of a role certificate. A role certificate is based on an X.509 certificate (V3) discussed in detail in item 4 of RFC 2459, previously incorporated herein by reference. The X.509 certificate is a public key certificate

utilized for either encryption purposes or as a signature key. The information contained in the X.509 certificate will vary according to whether it is set up as a signature certificate or as a public key for encryption. The role certificate contains at least those fields shown in table 1 ahead.

5

Table 1 - X.509 (v3) Certificate
version (V3)
serial number
signature algorithm ID
issuer name
validity period
subject name
subject public key information
issuer unique identifier
subject unique identifier
extensions

The role certificate is distinguished from an individual user's X.509 certificate (V3) in three ways. First, the name of the role certificate may distinguish it as a role certificate. Second, bits in the extension field, illustrated in table 1, would be set to indicate that the role certificate may be used for both encryption and signature purposes. Third, policies may be associated with a role certificate to indicate limitations on the uses of the role certificate. These policies may be stored on the registration web server 124 accessible by user 132, shown in FIG. 1, who receive a signature associated with an office. For example, a role certificate may be issued by the office of finance within the corporation to approve a purchase request. However, since several individuals within the office of finance may issue such a role certificate as a signature, that role certificate may have a dollar limitation policy associated with it, such as not valid for more than \$100, 000, for which the role

10

15

certificate is valid. Anything above the dollar limitation would require the individual signature certificate of the chief financial officer in order be considered valid. Other limitations may be associated for a role certificate on an individual basis. Therefore, a role certificate may be distinguished from a X.509 (v3) certificate by  
5 any one or combination of the naming convention used for the role certificate, policies associated with the role certificate that limit its use, the ability to use the role certificate for both encryption and as a digital signature by setting bits in the extensions, as well as its use by a group of individuals for encryption, decryption, and as a group signature.

10 FIG. 1 is a module configuration diagram of the software, firmware, and hardware used in the embodiments of the present invention. The blocks illustrated in FIG. 1 represent modules, code, code segments, commands, firmware, hardware, instructions and data that are executable by a processor-based system(s) and may be written in a programming language, such as, but not limited,  
15 to C++. It should be noted that the modules depicted in FIG. 1 are shown as contained in separate server platforms. However, these modules are not limited to residing on separate servers and may reside and execute one computer or any number of computers depending on the number of users the system must handle and the communications involved. FIGs. 2 through 10 are flowcharts further  
20 detailing the operations executed by the modules shown in FIG. 1.

FIG. 1 illustrates an exemplary architecture 100 in which the Public Key Infrastructure (PKI) processes of the present invention may be practiced. However, as previously discussed, it should be understood that the present invention is not limited to the architecture 100 of FIG. 1. The Architecture 100 includes Data Entry  
25 102 which performs a Data Entry function for Authoritative Database 104 which is resident on the server platform 106. A server platform 106 is referred to in this description but it should be understood that the present invention is not limited to

any particular server architecture. The server platform 106 maybe without limitation UNIX or Windows NT servers. The authoritative database 104 contains information about members of the group or enterprise for which PKI services in accordance with the present invention are performed. The present invention is not limited by the structure of the group enterprise for which information is stored in the authoritative database 104. The authoritative database 104 information includes, without limitation, the name, address, telephone numbers, manager's name, employee identification etc., of the members of the group or enterprise. Directory 108 has the structure of the database but is optimized for fast look-up of information stored therein rather than fast data entry. The data in the Directory 108 is not changed frequently but is required to be "accessed rapidly and functions on-line as a fast phone book" containing reference information about the members of the group or enterprise stored in the authoritative database 104. Certificate authority 110 is a conventional off-the shelf software executed on server platform 106 providing storage of certificates and related information used by the present invention as described in more detail hereinafter. Registration authority 112 is also off-the shelf software executable on server platform 106 regarding registration performed by the present invention as described in more detail hereinafter. Key authority 114 is also off-the shelf server software which is executable on Server Platform 106 for recovering keys from members of the group or enterprise as described in more detail hereinafter. Windows 2000 Domain CA 116 may use certificates provided by the present invention for a single sign-on to the architecture of FIG. 1. Legacy server 118 executes legacy application programs 120. The legacy server maybe, without limitation, a main frame, mini-computer, workstation or other server hosting legacy software applications that are designed to be run on PKI processes in accordance with the present invention. The legacy applications 120 are accessible on the client side by a custom client 128 such as an emulator or



custom database Graphic User Interface (GUI). Examples of emulators are terminal emulators of an IBM 3270 or terminal emulators of a vt 100. Registration web page 122, which maybe one or more pages, functions as the user interface to the architecture 100 of FIG. 1. Web Server 124 is a software application which serves Web Pages such as Web Page 122 or other HTML outputs to a web browser client which may be without limitation Apache or a Microsoft Internet Information Server. Web browser 126 is resident on client platform 128 which may be any user computer. Web browser 126 is a client software application for browsing web pages such as but not limited to HTML or XML protocols or other protocols. The Web browser 126 is programmed to operate with PKI certificates issued by the certificate authority 110. Examples of web browsers which has this capability are Netscape Navigator and the Microsoft Internet Explorer. The token 130 is a smart card, USB (we need to define the meaning of this acronym) or other hardware token capable of generating storing and using PKI certificates. A user 132 is a person using the architecture 100. A user 132 transitions through a number of states which include a new user, current user and a former user who no longer is a member of the group or enterprise. The Architecture 100 is described with reference to two levels of security but the number of the levels of security is not a limitation of the present invention with each level corresponding to a different security requirement. The level 1 search engine 134 is a search engine which is permitted to search through the architecture 100 but is allowed access to only level 1 data which is the lowest level of security and may be without limitation data which is freely distributable Level 2 data may be considered to be proprietary. Level 2 search engine 136 is a search engine which is allowed to search through both level 1 and level 2 data. A Level N search engine (not illustrated) is a search engine which is allowed to search through servers possessing Levels 1 through N of data. A secured level server with Level 1 data is a web server containing only level 1 data

which is secured so that users may have level to level 1 servers. A secured web server with level 2 data 140 is a Web Server that contains level 2 data which has been secured so that users must have level 2 access with level 2 users having access to both level 1 and level servers. A secured web server with level N data (not illustrated) is a web server that contains level N data which is accessible by user with level N or above access to all levels of data up through level N access. VPN Extranet 142 is a software application which functions as a network gateway, which as illustrated, may be either to legacy server 118 and legacy application 120 or to an external network such as the Internet. Personal registration authority 144 is a person who is in charge of revocation of members from the network 100. Personal registration authority 146 is a person who is in charge of registration of members in the network 100. Personal recovery approval 1 148 and personal recovery agent 2 149 are persons responsible for obtaining recovery of certificates. A Recovery Agent 150 is a person who performs recovery of certificates and may only recover a certificate if the certificate has first been designated as recoverable by another person. Personal role approval 152 is a person who approves different role function within the network 100. A web server administrator is in charge of various web functions in the network 100.

FIG. 2 is a flowchart of an example embodiments in the present invention where a role certificate is created for user 132. The user 132 requesting the role certificate will be designated as the role administrator and determine what other users would be added and deleted as role members. Therefore, the role administrator is considered to be the owner of the role certificate. Other designated users may employ the role certificate for encryption purposes and signature purposes for the office of which they are members. However, only the role administrator may add or delete members as well as revoke, create, or recover the role certificate.

Still referring to FIG. 2, the process for creating a role certificate begins in operation 200 where the user 132 via his local client platform 128 accesses the registration web server 124 and fills out an electronic form requesting the role certificate. In operation 205 the user digitally signs the electronic role form and transmits it to the registration web server 124. Thereafter, in operation 210, the registration web server 124 queries directory 108 for personal role approvals. This personal role approval will vary dependent on the enterprise's policy. For example this may simply entail sending the electronic form to the user's manager for his signature approval. However, this may also entail sending the electronic form to security or human resources for their signature approval. In any case the user's authority to generate a role certificate would have to be verified.

Still referring to FIG. 2, upon receipt by the registration web server 124 of the email addresses of the personnel role approval parties from the directory 108, the electronic form filled out by the user is transmitted to those personal role approval (148 and 152) parties, in operation 215. Thereafter, in operation 220, processing related to acquisition of a role certificate ceases until all personal role approval parties have responded by digitally signing the electronic form and returning it to the registration web server 124. In operation 225, upon receipt of all digitally signed electronic forms from all personal role approval (148 and 152) entities, the registration web server 124 and transmits a request to directory 108 to generate a role certificate of a half of user 132 for the role specified in the electronic form. Thereafter, in operation 230, the registration web server 124 notifies the user 132 of the availability of the role certificate. In operation 235, the user 132 accesses the registration web server 124 and provides a user signature certificate so that the registration web server 124 may verify the user's identity. Once the user's identity is verified, processing proceeds operation 240 where the user 132 is presented with a list of roles for which the user 132 is a role administrator. In operation 245, the

user 132 selects the role certificate desired and thereafter in operation 250 the role certificate is generated and transmitted to the user 132. It should be noted that the communications between the user 132 and the registration web server 124 may be encrypted so that an unauthorized third party may not utilize a role certificate even if access to client platform 128 were accomplished.

FIG. 3A is a flowchart of an example embodiment of the process for using a role certificate as an organizational stamp on a form or in a web server in the present invention. One of the benefits of a role certificate is that it acts as an organizational stamp indicating that an authorized individual is acting on behalf of the organization. In FIG. 3A the process shown allows the user to sign an electronic form on a web site which may be a purchase order and the user of the role certificate indicates approval by the organization for the purchase. Once the user 132 has acquired a role certificate, as outlined in the process shown in FIG. 2, in operation 300 the user 132 may access a web server. The web server may require the user to supply a signature certificate in order to gain access in operation 300. In operation 305, the user 132 signs the electronic form using his signature certificate. Thereafter, in operation 310 the user 132 signs the electronic form with the role certificate. Utilizing this process the user 132 is able to act on behalf of the organization and simultaneously identify himself thereby reducing the possibility of misuse of the role certificate.

FIG. 3B is a flowchart of an example embodiment of the process for using a role certificate as an organizational stamp on a form in an e-mail in the present invention. As with the process illustrated in FIG. 3A, user 132 will be signing a form utilizing both his personal digital signature and the role certificate on behalf of the organization. However, in this case the user 132 will be transmitting electronic form to another server or to another user. This process begins in operation 315 with the user filling out an electronic form on the client platform 128 and signs using his

personal digital signature. Thereafter, in operation 320 the user 132 signs the electronic form using the role certificate. In operation 325, user 132 then transmits this form to either another server or another user.

FIG. 4A is a flowchart of an example embodiment of the process for using a role certificate for organizational encryption in the receiving and sending of information in the present invention. Up to this point role certificates have been discussed only in relation to their use as signature certificates. However, as previously discussed, since the extensions fields of the role certificate are set for both encryption and signature the same role certificate may be used for both purposes. In the process illustrated in FIG. 4A a user 132 receives a role certificate from another user in operation 410. In operation 420 that user 132 may now encrypt messages utilizing the role certificate as an encryption (public) key and transmit them to anyone listed in directory 108 as having access to the role certificate. Anyone within the organization or group issuing the role certificate will be able to decrypt and read the message. Further, depending on the organizational structure, encrypted messages may be sent to a common mail box for an organization and be opened by anyone in the organization that is an authorized member of the organization as established by the role administrator.

FIG. 4B is a flowchart of an example embodiment of the process for using a role certificate for organizational encryption in the receiving and sending of information in the present invention. The process illustrated by FIG. 4B involves receiving the role certificate from the role administrator by a person in the organization who is designated as a role member. In operation 430, the user 132 receives a role certificate from the role administrator. Thereafter, user 132 encrypts messages and send them to other members of the group or organization. Further, user 132 may transmit the role certificate to others that may used it to transmit encrypted messages to user 132. In this manner messages may be encrypted and

sent and received and decrypted by individuals designated as role members.

FIG. 5 is a flowchart of an example embodiment of the process for replacing an expiring role certificate in the present invention. The role administrator may optionally designate in the process illustrated in FIG. 2 that the role certificate created is valid for a particular period of time. Via this mechanism a role administrator can ensure that an old role certificate may not be used after a particular time period and is forced to review the role member list to determine if they should continue to be role members.

Processing begins in FIG. 5 in operation 500 where user 132 accesses registration web server 124 and transmits his signature certificate as an irrefutable means of identification. In operation 505, the registration web server 124 establishes an encrypted secure communications channel with user 132. This is done in order to insure that an unauthorized party may not intercept the private key portion of role certificate. In operation 510, a list of role certificates of which the user 132 is a role administrator is displayed to user 132. In operation 515, the user 132 selects a role from the list displayed. Thereafter, in operation 520 registration web server 124 requires a directory 108 to determine if user 132 is authorized as role administrator for the role selected. In operation 525, if user 132 is not authorized as a role administrator for this particular role then processing proceeds to operation 530 where an error message is generated and execution ceases. However, if in operation 525 is determined that user 132 is an authorized user administrator, then processing proceeds to operation 535. In operation 535 a registration authority 112 is signaled to generate a new role certificate for this particular role which would include both a private and public key and setting of extension bits to indicate that the role certificate may be used for both encryption and signature. Processing then proceeds to operation 540 where the private key is generated and sent to user 132 registration authority 112 via registration web

server 124. As would be appreciated by one of ordinary skill in the art, communications may occur directly between user 132 and the registration authority 112. In operation 545, the public key portion of the role certificate is sent to the certificate authority 110 for approval indicated by a digital signature. Thereafter, in operation 550 the sign certificate is returned to registration authority 112 by the certificate authority 110. In operation 555, the certificate authority 110 transmits the public key to directory 108. In addition, in operation 560 a copy of the private key is sent to key recovery authority 114 for storage. In this process for replacement of an expiring role certificate it is again possible to designate an expiration date for this replacement role certificate.

FIG. 6 is a flowchart of an example embodiment of the process for revoking a role certificate in the event of suspected compromise of the role certificate. As with all signature and encryption systems it may be necessary to revoke a role certificate upon the mere suspicion that it is compromised. This is accomplished by the operations shown in FIG. 6. Processing begins in FIG. 6 in operation 600 where the user 132 accesses the registration web server 124 and transmits a copy of his digital signature. In operation 605, registration web server 124 queries directory 108 to confirm that user 132 is still a valid member of this organization. In operation 610, if the user is no longer a member of the organization, processing proceeds to operation 615 where an error message is generated. However, if in operation 610 the user is determined to be a valid member of the organization, then processing proceeds to operation 620. In operation 620, the list of roles of which user 132 is a member is generated by directory 108 and transmitted to user 132 either directly or through registration web server 124. Thereafter, in operation 625, the user 132 selects a specific role to be revoked. In operation 630, the registration web server 124 signals the directory 108 to remove the selected role. In operation 635, the directory 108 will leave the role untouched in the database and remove the

certificate associated with it. Processing then proceeds to operation 640 where the greatest racial web server 124 generating new role certificate. In operation 645 this new role certificate is transmitted to directory 108 which stores it in the database associated with the particular role. In operation 650 registration web server 124 may optionally send messages to the role members for this particular role to indicate that the role certificate has been replaced.

FIG. 7 is a flowchart of an example embodiment of the process for recovery of a role certificate in the present invention. There are two possible implementations of the process shown in FIG. 7. In the first, the role administrator may recover a lost role certificate for a particular user 132. In the second, the user 132 may of his own accord recover a lost role certificate. In either alternate embodiment, either the role the administrator or user 132 would be required to supply his signature certificate to verify their identities. In addition, as previously discussed, it is preferred that an encrypted secure communications line to be used in transmittal of the private key portion of the digital certificate.

The process illustrated in FIG. 7 begins in operation 700 in which a user 132 (either the role administrator or the user himself) requests from registration web server 124 recovery of a lost or expired role certificate. In operation 705, the user 132 transmits a copy of his signature certificate to registration web server 124. Thereafter, in operation 710 the registration web server 124 contacts directory 108 to retrieve a list of role certificates available to this user 132. In operation 715 all role certificates for which the user 132 is a member are sent to the registration web server 124 for display to the user 132. Processing then proceeds to operation 720 where the user 132 selects a role certificate for recovery. In operation 725, the registration web server 124 signals the key recovery authority 114 for a copy of the role certificate. In operation 730 either the role web server 124 or the key recovery authority 114 transmits the role certificate to user 132 over an encrypted and



secure line.

FIG. 8 is a flowchart of an example embodiment of the process for terminating a role in the present invention. Unlike the process illustrated in FIG. 6, the process illustrated in FIG. 8 revokes an entire role. The removal of a role can only be accomplished by a role administrator. Processing begins in operation 800 in which the role administrator accesses the registration web server 124 and enters his digital signature. In operation 805 the registration web server 124 queries directory 108 to identifies roles associated with the of role administrator. In operation 810, list of roles is displayed for the role administrator. Thereafter, in operation 815, the role adminstrator selects a role to be terminated from the list presented. Thereafter, in operation 820, the role and the role certificate associated with it are deleted from the database.

FIG. 9 is a flowchart of an example embodiment of the process for recovery of a role certificate in the present invention. The process illustrated in FIG. 9 is an alternate embodiment to that shown in FIG. 7. However, in the example embodiment shown in FIG. 9, two agents are utilized to recover a role certificate, thereby adding further security to the present invention. Processing begins execution in operation 900 where officer or user 132 of the organization contacts via the registration web server 124, directory 108 in order to recover a role certificate. In operation 905, the directory 108 indicates that no member of the role is currently in the organization. This would occur when a group is established to accomplish some function and then that group disbands upon the completion of that endeavor. However, encrypted messages are still being sent to this particular group. Thereafter, the officer or user 132 contacts recovery agent 1 150 and recovery agent 2 149 for permission to recover a role certificate. Assuming both recovery agent 1 150 and recovery agent 2 149 both individually agree that the particular role certificate needs to be recovered, processing then proceeds to

operation 915. In operation 915 both recovery agent 1 150 and recovery agent 2 149 independently access key recovery authority 114 requesting recovery of the role certificate and each supplies their digital signatures. In operation 920, the key recovery authority 114 contacts directory 108 to determine if recovery agent 1 150 and recovery agent 2 149 are authorized to recovery a role certificate. In operation 925, if either recovery agent 1 150 or recover agent 2 149 are not authenticated, then processing proceeds operation 930 where an error message is generated. However, where recovery agent 1 150 and recovery agent 2 149 are authenticated, then processing proceeds to operation 935. In operation 935 the key recovery authority 114 tags the certificate as approved for recovery. Thereafter, in operation 940, the key recovery authority transmits role certificate to a recovery agent, either recovery agent 1 150 or recovery agent 2 149. In operation 945, the recovery agent receiving the role certificate transmits the same to the officer or user 132.

Using the embodiments of the present invention, an organization may create processes and methods for managing role certificates. These role certificates would be utilized for both signature and encryption purposes. Further these role certificates would be used by several individuals within identifiable groups, thereby making possible an electronic stamp for a group or organization. Authorized members of the group would be able to sign on behalf of the group and decrypt messages sent to the group. Therefore, the organization will be able to better respond to customer needs while maintaining the security of important information.

While we have shown and described only a few examples herein, it is understood that numerous changes and modifications as known to those skilled in the art could be made to the present invention. For example, any type of computer architecture may be utilized for the embodiments of present invention. Further, the present invention may be written in any general-purpose computer language. Also, security may be enhanced through the use of encrypted secure communications

5

# CLAIMS

## We Claim:

- 1           1.     A method of creating a role certificate by a user, comprising:  
2           transmitting a role approval form, filled out and digitally signed by the user  
3           using a personal digital signature, to at least one personal role approval;  
4           signing digitally the role approval form by the personal role approval using a  
5           personal digital signature;  
6           creating a role certificate upon receipt of the role approval form signed by the  
7           user and the personal role approval;  
8           notifying the user of the availability of the role certificate; and  
9           transmitting the role certificate to the user.
- 1           2.     The method recited in claim 1, wherein the role certificate comprises  
2           a public key, a private key, of signature algorithm ID, validity period, extensions and  
3           at least one policy.
- 1           3.     The method recited in claim 2, wherein the policy indicates all  
2           permitted uses and limitations on the role certificate.
- 1           4.     The method recited in claim 3, further comprising:  
2           identifying all members of a group as role members that will access and use  
3           of the role certificate;  
4           storing the names and identifications of all role members; and  
5           transmitting copies of the role certificate to all role members.

5. The method recited in claim 4, further comprising:  
transmitting the public key portion of the role certificate to a plurality of  
entities outside the group; and  
decrypting messages from the plurality of entities outside the group  
encrypted using the public key portion of the role certificate.

6. The method recited in claim 4, further comprising:  
signing electronic forms by a group member utilizing the role certificate; and  
transmitting electronic forms to entities outside the group.

7. A method of using a role certificate as an organizational stamp and for  
organizational encryption by a plurality of role members of a group, comprising:  
filling out an electronic form by a role member of the plurality of role  
members of the group;  
signing digitally the electronic form by the role member using the role  
certificate;  
signing digitally the electronic form by the role member using a personal  
signature certificate; and  
transmitting the electronic form to an entity.

8. The method recited in claim 7, further comprising:  
retrieving a policy associated with the role certificate by the entity; and  
determining if the role certificate signature supplied is valid as a signature for  
the electronic form.

9. The method recited in claim 7, further comprising:  
transmitting a public key portion of the role certificate by the role member to

3 the entity;  
 4 encrypting information by the entity;  
 5 transmitting the information to the role member; and  
 6 decrypting the information by any member of the group having the digital  
 7 certificate.

1 10. The method recited in claim 9, wherein the role certificate comprises a  
 2 public key, a private key, of signature algorithm ID, validity period, extensions and  
 3 at least one policy, wherein the extensions indicate that the role certificate may be  
 4 used for both encryption and as a digital signature.

1 11. A method of replacing an expiring role certificate, comprising:  
 2 displaying a list of roles to a user who is either a role member or a role  
 3 administrator; wherein the user is a member of a group authorized to utilize the role  
 4 certificate as a group stamp and for encryption of information which may be  
 5 decrypted by a plurality of group members;  
 6 selecting a role which is about to expire for renewal by the user;  
 7 determining if the user is authorized to renew the role based upon  
 8 verification of the user's personal digital signature;  
 9 generating a new role certificate having a private and public key; and  
 10 transmitting the new role certificate to the user.

1 12. The method recited in claim 11, the transmitting of the new role  
 2 certificate to the user is done over an encrypted secure communications line.

1 13. The method recited in claim 11, wherein prior to the transmitting of  
 2 the new role certificate to the user the new role certificate is transmitted to a

3 certificate authority for approval and the new role certificate is not transmitted to  
4 user without the approval.

1 14. The method recited in claim 13, wherein the public key portion of the  
2 role certificate is stored on a server for access by individuals and entities outside of  
3 the group.

1 15. The method recited in claim 14, wherein the the private key portion of  
2 the role certificate is stored in a key recovery authority for recovery in case of loss  
3 or expiration.

1 16. The method recited in claim 11, wherein the role certificate comprises  
2 a public key, a private key, of signature algorithm ID, validity period, extensions and  
3 at least one policy.

1 17. A method of revoking a role certificate used as an organizational  
2 stamp and for organizational encryption by authorized members of the organization,  
3 comprising:

4 transmitting a signature certificate to a registration web server by a user;  
5 authenticating by accessing a directory that the user is still a member of the  
6 organization;  
7 listing roles of which the user is a role member or a role authority; and  
8 removing the role certificate associated with the role from a directory  
9 database.

1 18. The method recited in claim 17, wherein when the role certificate is  
2 removed from the directory database the role associated with the role certificate

3 remains intact on the database.

1 19. The method recited in claim 18, further comprising:  
 2 generating a new role certificate for the role when the role certificate is  
 3 removed from the directory database;  
 4 establishing a secure encrypted communications line with the user; and  
 5 transmitting the role certificate to the user.

1 20. The method recited in claim 19, further comprising:  
 2 notifying all role members associated with the role of the removal of the role  
 3 certificate and the creation of the new role certificate when the new role certificate  
 4 is created.

1 21. The method recited in claim 17, wherein the role certificate comprises  
 2 a public key, a private key, of signature algorithm ID, validity period, extensions and  
 3 at least one policy.

1 22. A method of recovery of an expired role certificate associated with the  
 2 role used for organizational encryption and as an organizational stamp, comprising:  
 3 transmitting a request to recover the expired role certificate along with a  
 4 digital signature from a role member, wherein a role member is an entity having a  
 5 right to digitally sign organizational documents using the role certificate and  
 6 decrypting information sent to members of the organization which has been  
 7 encrypted using the role certificate;  
 8 listing all roles that the role member is listed as a role member on;  
 9 selecting the expired role certificate from the list of roles by the role member  
 10 for recovery;



11 contacting a key recovery authority for a copy of the role certificate; and  
12 transmitting the role certificate to the role member.

1 23. The method recited in claim 22, further comprising:  
2 authenticating that the role member is either a member of the role or a role  
3 authority for the role prior to contacting the key recovery authority.

1 24. The method recited in claim 22, wherein the role certificate comprises  
2 a public key, a private key, of signature algorithm ID, validity period, extensions and  
3 at least one policy.

1 25. The method recited in claim 23, wherein all members of the role are  
2 informed of the recovery of the role certificate.

1 26. A method of revoking a role certificate and an associated role by a  
2 role administrator, comprising:  
3 transmitting a request to revoke the role certificate and the associated role  
4 by the role administrator for the role certificate along with a signature certificate for  
5 the role administrator;  
6 searching a database for all role certificates in which the role administrator is  
7 listed as a role administrator;  
8 displaying to the role administrator all role certificates discovered;  
9 selecting a role certificate by the role administrator to be removed; and  
10 deleting both the role certificate and the role from the database.

1 27. The method recited in claim 26, wherein a policy is deleted from a  
2 directory when the role certificate and a role are deleted from the database.

28. The method recited in claim 27, wherein the role certificate comprises a public key, a private key, of signature algorithm ID, validity period, extensions and at least one policy.

29. A method of recovering a former role and an associated role certificate by a role administrator, comprising:

identifying a role certificate to be recovered;

searching a database to determine if any role members associated with the role certificate are still in the organization;

transmitting to at least one recovery agent a request for approval for the recovering of the role certificate when no role are discovered to be in the organization;

receiving approval from the at least one recovery agent for recovery of the role certificate;

transmitting to the at least one recovery agent the role certificate retrieved when the recover agent supplies an approval to recover the role certificate; and

transmitting the role certificate to the role administrator by the recovery agent.

30. The method recited in claim 29, wherein the at least one recovery agent is at least two recovery agents and both recovery agents must approve recovery before recovery of the role certificate occurs.

31. The method recited in claim 30, wherein both recovery agents must be authenticated as having authority to authorize the recovery the role certificate prior to the role certificate being sent to the recovery agent.

32. A computer program embodied on a computer readable medium and executable by a computer to create a role certificate for a user, comprising:

- transmitting a role approval form filled out and digitally signed by the user using a personal digital signature to at least one personal role approval;
- signing digitally the role approval form by the personal role approval using a personal digital signature;
- creating a role certificate upon receipt of the role approval form signed by the user and all personal role approval;
- notifying the user of the availability of the role certificate; and
- transmitting the role certificate to the user.

33. The computer program recited in claim 32, wherein the role certificate comprises a public key, a private key, of signature algorithm ID, validity period, extensions and at least one policy.

34. The computer program recited in claim 33, wherein the policy indicates all permitted uses and limitations on the role certificate.

35. The computer program recited in claim 34, further comprising:

- identifying all members of a group as role members that will access and use of the role certificate;
- storing the names and identifications of all role members; and
- transmitting copies of the role certificate to all role members.

36. The computer program recited in claim 35, further comprising:

- transmitting the public key portion of the role certificate to a plurality of

entities outside the group; and  
 decrypting messages from the plurality of entities outside the group  
 encrypted using the public key portion of the role certificate.

37. The computer program recited in claim 35, further comprising:  
 signing electronic forms by a group member utilizing the role certificate; and  
 transmitting electronic forms to entities outside the group.

38. A computer program embodied on a computer readable medium and  
 executable by a computer for using a role certificate as an organizational stamp  
 and for organizational encryption by a plurality of role members of a group,  
 comprising:

filling out an electronic form by a role member of the plurality of role  
 members of the group;  
 signing digitally the electronic form by the role member using the role  
 certificate;  
 signing digitally the electronic form by the role member using a personal  
 signature certificate; and  
 transmitting the electronic form to an entity.

39. The computer program recited in claim 38, further comprising:  
 retrieving a policy associated with the role certificate by the entity; and  
 determining if the role certificate signature supplied is valid as a signature for  
 the electronic form.

40. The computer program recited in claim 38, further comprising:  
 transmitting a public key portion of the role certificate by the role member to

the entity;  
 encrypting information by the entity;  
 transmitting the information to the role member; and  
 decrypting the information by any member of the group having the digital  
 certificate.

41. The computer program recited in claim 40, wherein the role certificate comprises a public key, a private key, of signature algorithm ID, validity period, extensions and at least one policy, wherein the extensions indicate that the role certificate may be used for both encryption and as a digital signature.

42. A computer program embodied on a computer readable medium and executable by a computer for replacing an expiring role certificate, comprising:  
 displaying a list of roles a user is either a role member of or a role administrator for, wherein the user is a member of a group authorized to utilize the role certificate as a group stamp and for encryption which may be decrypted by a plurality of group members;  
 selecting a role which is about to expire for renewal by the user;  
 and determining if the user is authorized to renew the role based upon verification of the user's personal digital signature;  
 generating a new role certificate having a private and public key; and  
 transmitting the new role certificate to the user.

43. The computer program recited in claim 42, the transmitting of the new role certificate to the user is done over an encrypted secure communications line.

44. The computer program recited in claim 42, wherein prior to the

transmitting of the new role certificate to the user, the new role certificate is transmitted to a certificate authority for approval and the new role certificate is not transmitted to user without the approval.

45. The computer program recited in claim 44, wherein the public key portion of the role certificate is stored on a server for access by individuals and entities outside of the group.

46. The computer program recited in claim 45, wherein the the private key portion of the role certificate is stored in a key recovery authority for recovery in case of loss or expiration.

47. The computer program recited in claim 46, wherein the role certificate comprises a public key, a private key, of signature algorithm ID, validity period, extensions and at least one policy.

48. A computer program embodied on a computer readable medium and executable by a computer for revoking a role certificate used as an organizational stamp and for organizational encryption by authorized members of the organization, comprising:

- transmitting a signature certificate to a registration web server by a user;
- authenticating by accessing a directory that the user is still a member of the organization;
- listing roles of which the user is a role member or a role authority; and
- removing the role certificate associated with the role from a directory database.

1           49.    The computer program recited in claim 48, wherein when the role  
2           certificate is removed from the directory database the role associated with the role  
3           certificate remains intact on the database.

1           50.    The computer program recited in claim 49, further comprising:  
2           generating a new role certificate for the role when the role certificate is  
3           removed from the directory database;  
4           establishing a secure encrypted communications line with the user; and  
5           transmitting the role certificate to the user.

1           51.    The computer program recited in claim 50, further comprising:  
2           notifying all role members associated with the role of the removal of the role  
3           certificate and the creation of the new role certificate when the new role certificate  
4           is created.

1           52.    The computer program recited in claim 49, wherein the role certificate  
2           comprises a public key, a private key, a signature algorithm ID, validity period,  
3           extensions and at least one policy.

1           53.    A computer program embodied on the computer readable medium  
2           and executable by computer for recovery of an expired role certificate associated  
3           with the role used for organizational encryption and as an organizational stamp,  
4           comprising:  
5           transmitting a request to recover the expired role certificate along with a  
6           digital signature from a role member, wherein a role member is an entity having a  
7           right to digitally signed organizational documents using the role certificate and  
8           decrypting information sent to members of the organization which have been

9 encrypted using the role certificate;  
 10 listing all roles that the role member is listed as a role member on;  
 11 selecting the expired role certificate from the list of roles by the role member  
 12 for recovery;  
 13 contacting a key recovery authority for a copy of the role certificate; and  
 14 transmitting the role certificate to the role user.

1 54. The computer program recited in claim 53, further comprising:  
 2 authenticating that the role member is either a member of the role or a role  
 3 authority for the role prior to contacting the key recovery authority.

1 55. The computer program recited in claim 53, wherein the role certificate  
 2 comprises a public key, a private key, of signature algorithm ID, validity period,  
 3 extensions and at least one policy.

1 56. The computer program recited in claim 54, wherein all members of  
 2 the role are informed of the recovery of the role certificate.

1 57. A computer program embodied on a computer readable medium and  
 2 executable by a computer for revoking a role certificate and an associated role by a  
 3 role administrator, comprising:

4 transmitting a request to revoke the role certificate and the associated role  
 5 by the role administrator for the role certificate along with a signature certificate for  
 6 the role administrator;

7 searching a database for all role certificates in which the role administrator is  
 8 listed as a role administrator;

9 displaying to the role administrator all role certificate discovered;



10 selecting a role certificate by the role administrator to be removed; and  
11 deleting both the role certificate and the role from the database.

1 58. The computer program recited in claim 57, wherein a policy is deleted  
2 from a directory when the role certificate and a role are deleted from the database.

1 59. The computer program recited in claim 58, wherein the role certificate  
2 comprises a public key, a private key, of signature algorithm ID, validity period,  
3 extensions and at least one policy.

1 60. A computer program embodied on a computer readable medium and  
2 executable by a computer for recovering a former role and an associated role  
3 certificate by a role administrator, comprising:

4 identifying a role certificate to be recovered;  
5 searching a database to determine if any role members associated with the  
6 role certificate are still with the organization;

7 transmitting to at least one recovery agent a request for approval for the  
8 recovering of the role certificate;

9 receiving approval from the at least one recovery agent for recovery of the  
10 role certificate;

11 transmitting to the at least one recovery agent the role certificate retrieved;  
12 and

13 transmitting the role certificate to the role administrator by the recovery  
14 agent.

1 61. The computer program recited in claim 60, wherein the at least one  
2 recovery agent is at least two recovery agents and both recovery agents must

3 approve recovery before recovery of the role certificate occurs.

1 62. The computer program recited in claim 31, wherein both recovery  
2 agents must be authenticated as having authority to authorize the recovery of the  
3 role certificate prior to the role certificate being sent to the recovery agent.

1 62. A role certificate for organizational encryption and for use as a  
2 organizational stamp or seal, comprising:  
3 a public key to be transmitted to entities outside the organization to use as  
4 an encryption key;  
5 a private key to decrypt information encrypted using the public key;  
6 a signature algorithm ID to be used in generating a digital signature with the  
7 role certificate;  
8 a validity period indicating when the role certificate will expire;  
9 extensions having a plurality of bits which designate characteristics  
10 associated with the role certificate, wherein when a bit for encryption is sent and a  
11 bit for signature is set the role certificate may be used for both digital signatures  
12 and encryption; and  
13 a policy defining the limitations on valid usage of the role certificate.

1 63. The computer program recited in claim 62, wherein the role certificate  
2 may be used by any member authorized within the organization for decrypting  
3 encrypted information and signing on behalf of the organization.

1 64. The computer program recited in claim 62, wherein the role certificate  
2 is created by a role authority and deleted by the member of the organization  
3 designated as a role member for the role certificate, wherein an associated role for

1            65.     The computer program recited in claim 64, wherein any time where the  
2     role certificate is used to sign on behalf of the organization a signature certificate for  
3     the entity signing must be included.

# **SYSTEM AND METHOD FOR USAGE OF A ROLE CERTIFICATE IN ENCRYPTION, AND AS A SEAL, DIGITAL STAMP, AND A SIGNATURE**

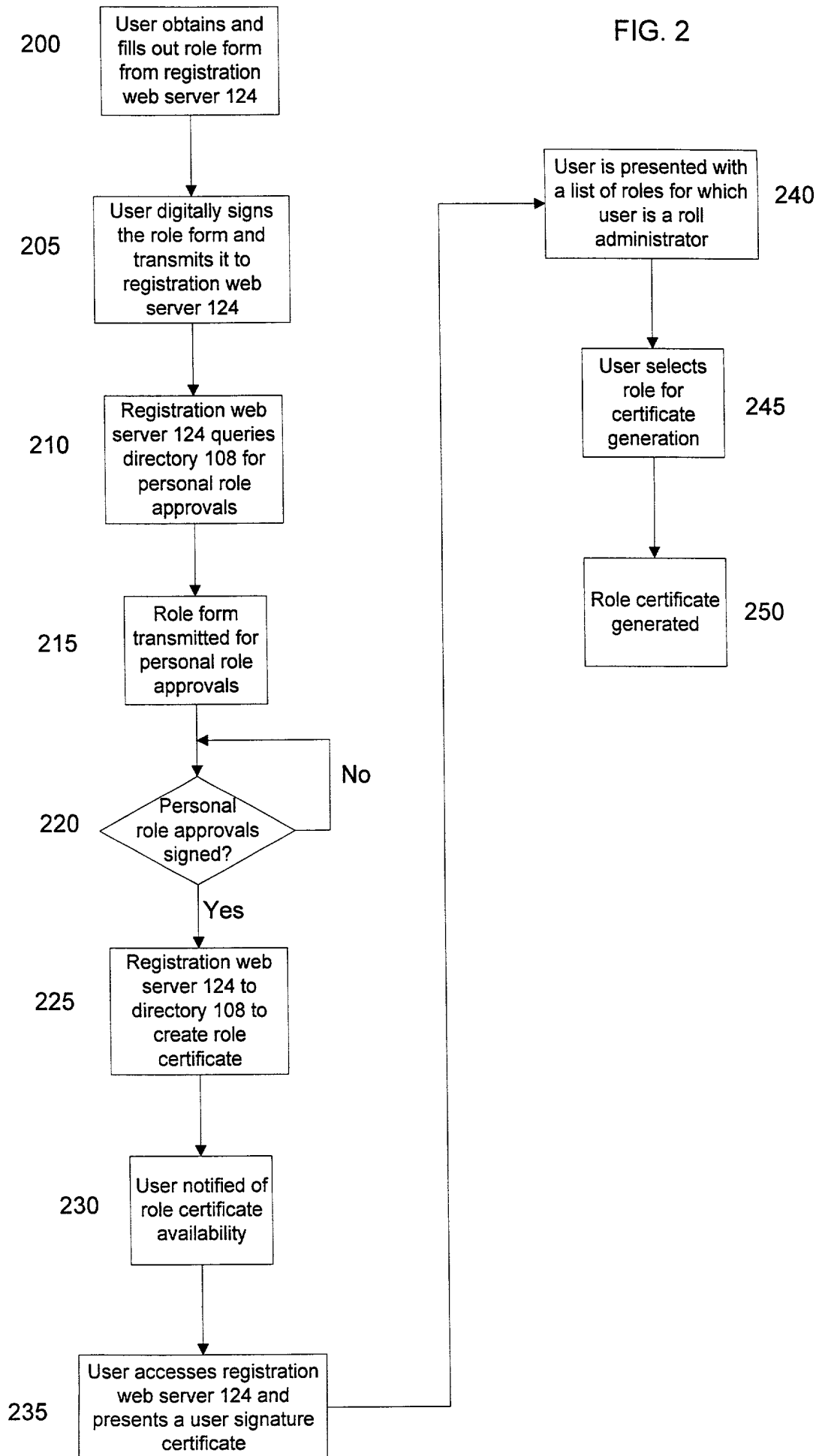
5

## **Abstract of the Disclosure**

10 A method and computer program in which a user (132) may access the  
 registration web server (124) for the purpose of creating and utilizing a role  
 certificate. This role certificate has policies associated with it and may be utilized  
 for both encryption and as a digital signature. Individuals in a group share the  
 same role certificate and can sign on behalf of the group. Further, individuals may  
 decrypt messages sent to the group or any member of the group which have been  
 encrypted using the role certificate. This method and computer program utilizes a  
 15 directory (108) to maintain a list of all row certificates, their respective role  
 administrators and all members of the organization that may utilize them. A key  
 recovery authority (114) is utilized to recover expired row certificates. A certificate  
 authority (110) is utilized to create and delete these role certificates. Further, a  
 registration authority (112) is utilized to add and remove a previously created role.



FIG. 2



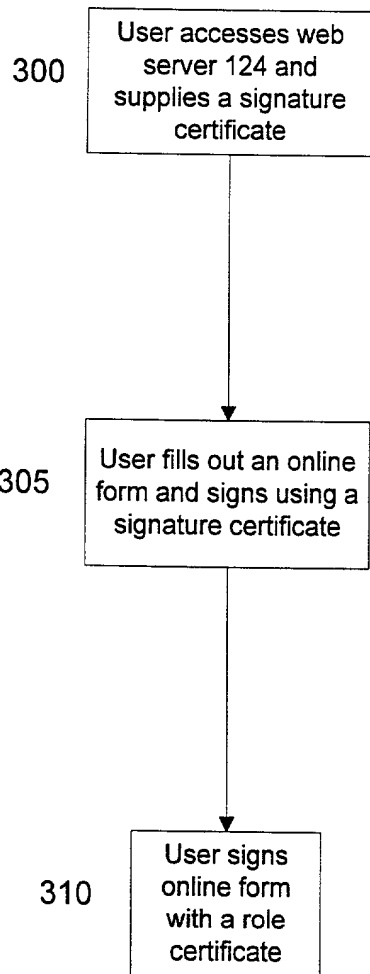


FIG. 3A

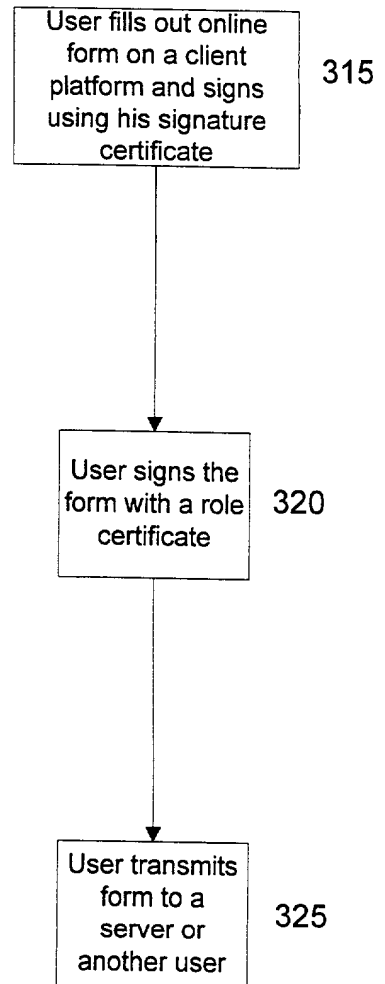


FIG. 3B

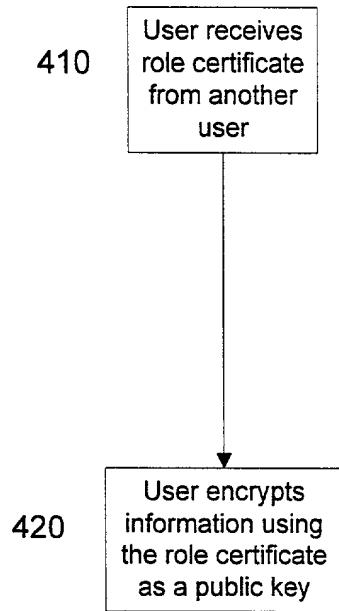


FIG. 4A

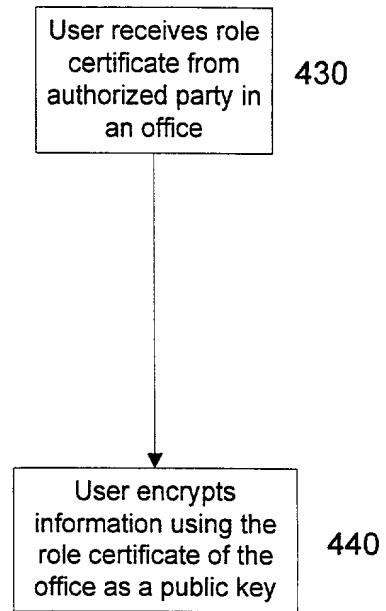


FIG. 4B



Figure 1 displays 12 histograms showing the distribution of the number of non-zero elements in the rows of the matrix  $A_k$  for  $k$  from 0 to 11. The histograms are arranged in a 6x2 grid. The left column shows the distribution for  $k=0, 2, 4, 6, 8, 10$  and the right column for  $k=1, 3, 5, 7, 9, 11$ . Each histogram has 'Number of non-zero elements' on the x-axis (ranging from 0 to 100) and 'Frequency' on the y-axis (ranging from 0 to 10). The distributions are generally bell-shaped and centered around 50-60 non-zero elements.

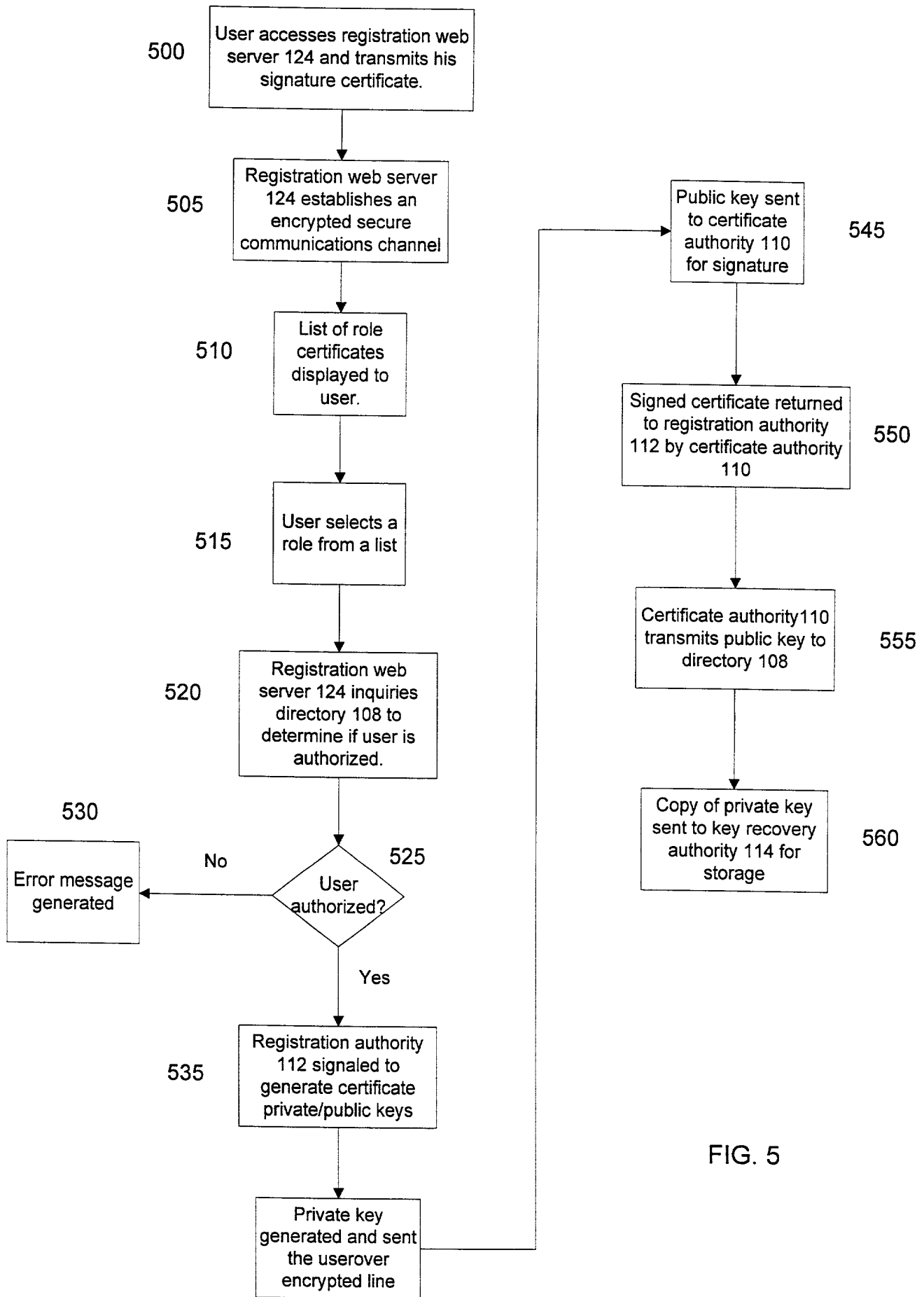
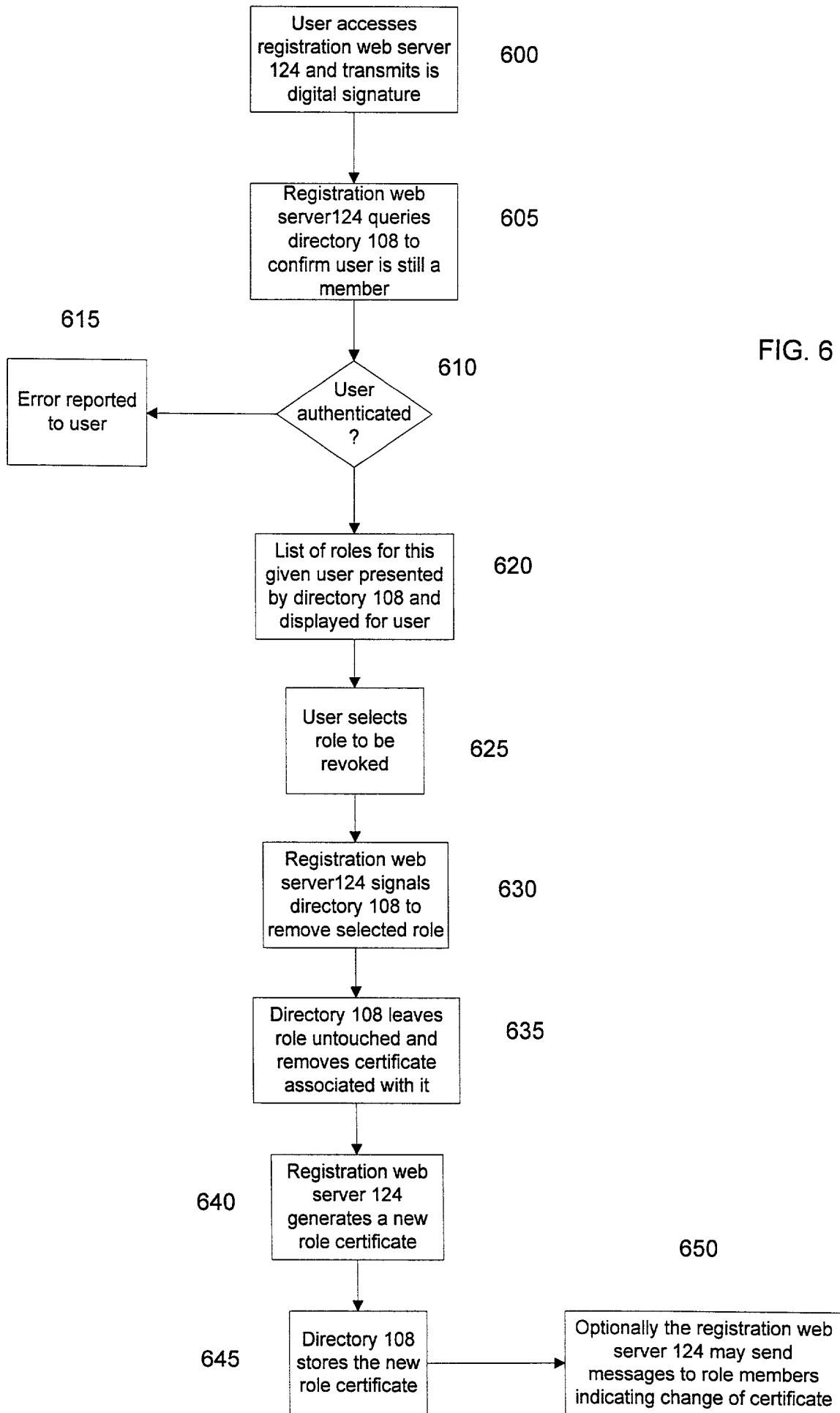


FIG. 5



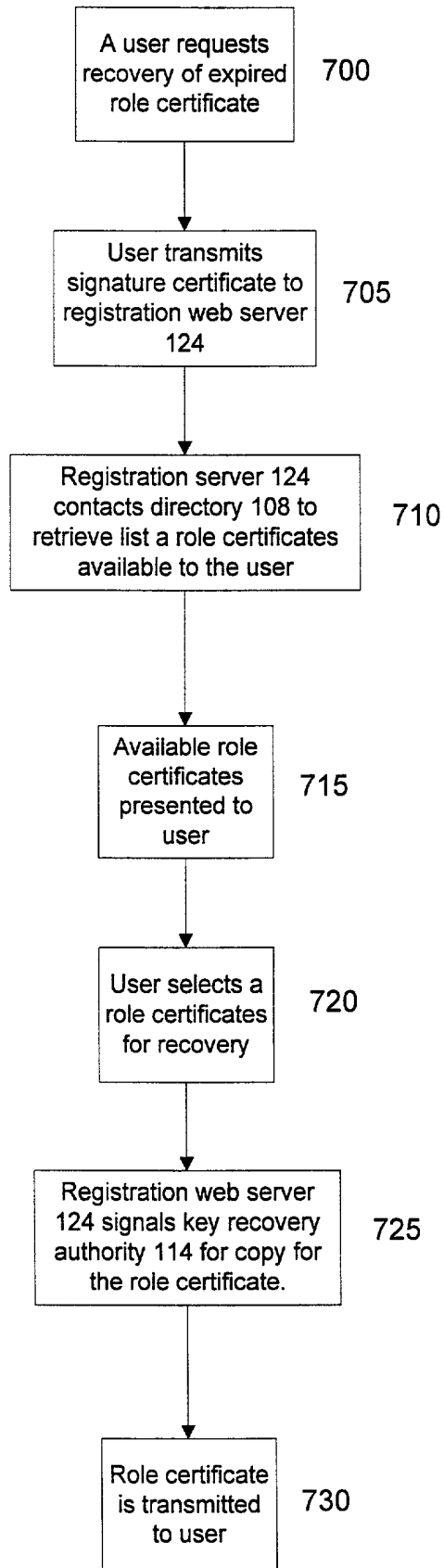


FIG. 7

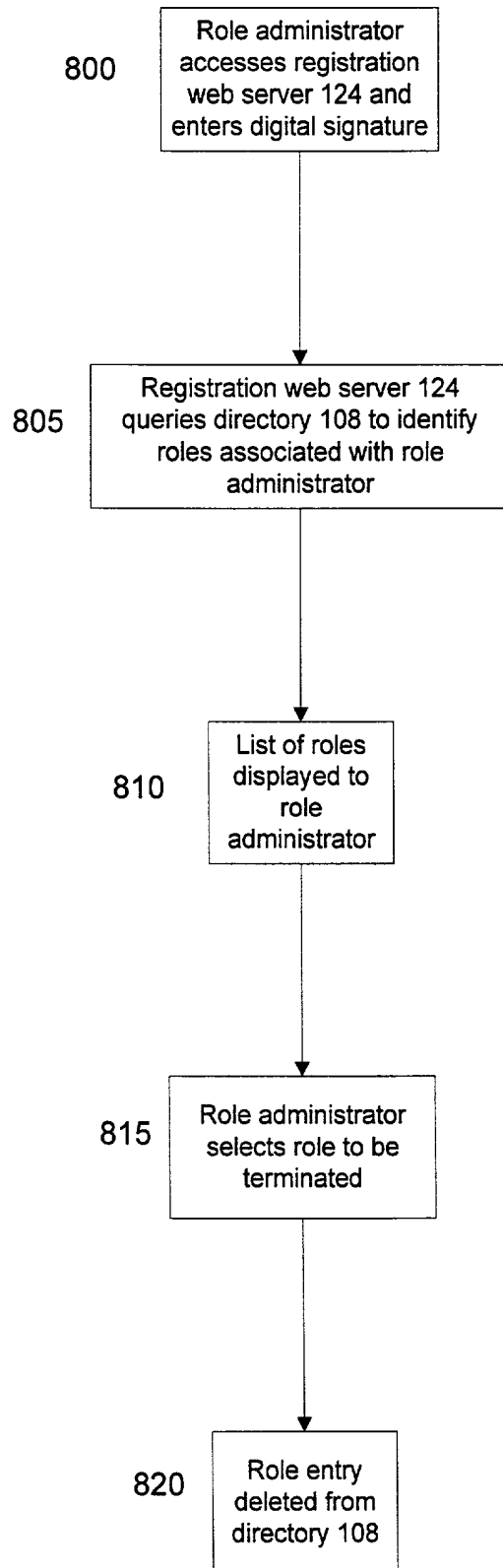
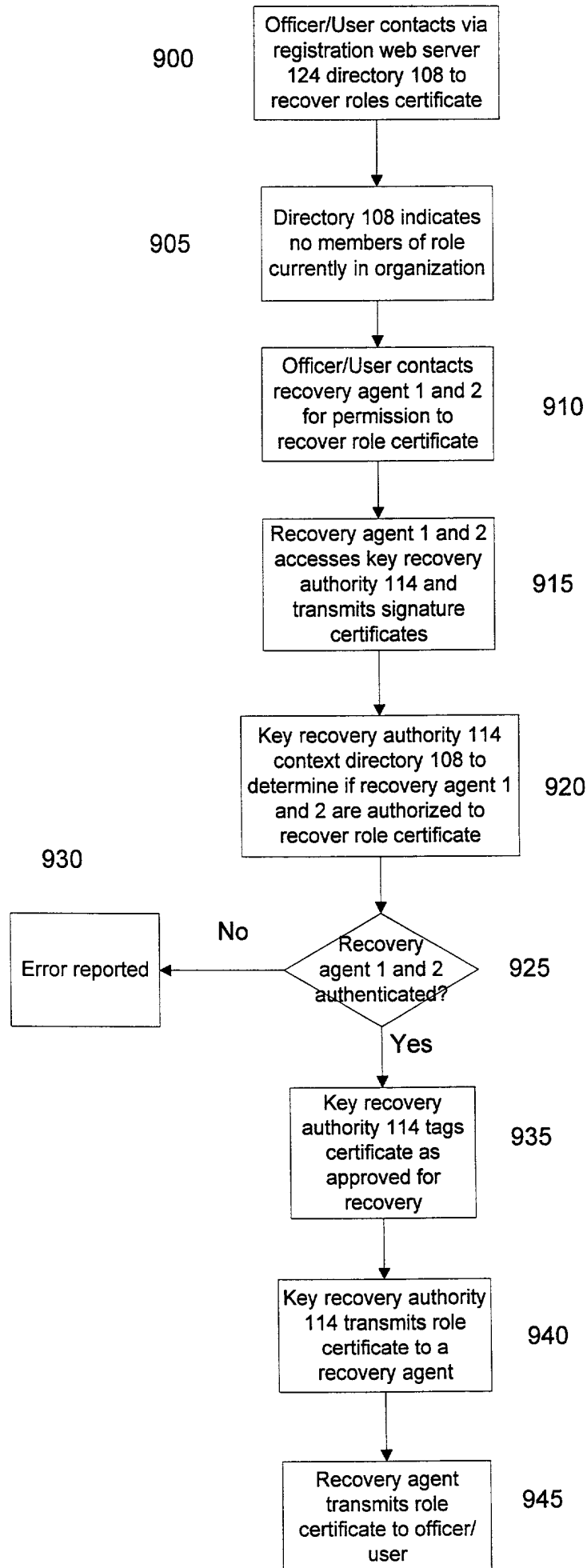


FIG. 8

FIG. 9



## DECLARATION FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled **SYSTEM AND METHOD FOR USAGE OF A ROLE CERTIFICATE IN ENCRYPTION, AND AS A SEAL, DIGITAL STAMP, AND A SIGNATURE** the specification of which

\_\_\_\_\_ is attached hereto

\_\_\_\_\_ was filed on \_\_\_\_\_ as Application Serial No. \_\_\_\_\_ and was amended on \_\_\_\_\_ (if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s)

Priority Claimed

NONE  
(Number)

\_\_\_\_\_  
(Country)

\_\_\_\_\_  
(Day/Mo./Yr. Filed)

\_\_\_\_\_  
Yes

\_\_\_\_\_  
No

\_\_\_\_\_  
(Number)

\_\_\_\_\_  
(Country)

\_\_\_\_\_  
(Day/Mo./Yr. Filed)

\_\_\_\_\_  
Yes

\_\_\_\_\_  
No

\_\_\_\_\_  
(Number)

\_\_\_\_\_  
(Country)

\_\_\_\_\_  
(Day/Mo./Yr. Filed)

\_\_\_\_\_  
Yes

\_\_\_\_\_  
No

**Docket No. 15-0216**

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

<u>60/210,462</u> (Number)	<u>US</u> (Country)	<u>09/06/00</u> (Day/Mo./Yr. Filed)	<u>Pending</u> (Status)
<u>60/210,552</u> (Number)	<u>US</u> (Country)	<u>09/06/00</u> (Day/Mo./Yr. Filed)	<u>Pending</u> (Status)
<u>60/229,336</u> (Number)	<u>US</u> (Country)	<u>01/09/00</u> (Day/Mo./Yr. Filed)	<u>Pending</u> (Status)

I hereby appoint as principal attorneys:

Michael S. Yatsko, Reg. No. 28, 135  
Robert W. Keller, Reg. No. 25,347  
Connie M. Thousand, Reg. No. 43,191  
Donald E. Stout, Reg. No. 26,422

each with full power to prosecute this application, to transact all business in the United States Patent and Trademark Office connected therewith, and to appoint and revoke associate and substitute associate attorneys.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Address all telephone calls to: (310) 812-4910

Address all correspondence to:

PATENT COUNSEL  
TRW Inc.  
Space & Electronics Group  
One Space Park, E2/6051  
Redondo Beach, California 90278

246

Full name of sole or first inventor Kenneth W. Aull  
Inventor's signature \_\_\_\_\_ Date: \_\_\_\_\_  
Residence Fairfax, Virginia  
Citizenship United States  
Post Office Address 5364 Lake Normandy Court, Fairfax, Virginia 22030

Full name of second inventor Vincent J. McCullough  
Inventor's signature \_\_\_\_\_ Date: \_\_\_\_\_  
Residence Chantilly, Virginia  
Citizenship United States  
Post Office Address 13899 Ferrara Court, Chantilly, Virginia 20151

Full name of third inventor James I. Northrup  
Inventor's signature \_\_\_\_\_ Date: \_\_\_\_\_  
Residence Sterling, Virginia  
Citizenship United States  
Post Office Address 20943 Cherokee, Sterling, Virginia 20165

Variable	Mean	SD	Min	Max
Age	34.5	10.2	18	65
Gender	Male	100%		
Marital status	Married	100%		
Education	High school	100%		
Occupation	Teacher	100%		
Income	\$10,000	100%		
Health status	Good	100%		
Smoking status	Non-smoker	100%		
Alcohol consumption	None	100%		
Exercise frequency	None	100%		
Stress level	Low	100%		
Sleep quality	Good	100%		
Dietary habits	Healthy	100%		
Family size	2	100%		
Religious beliefs	Christian	100%		
Political views	Conservative	100%		
Travel frequency	None	100%		
Pets	None	100%		
Volunteering	None	100%		
Charitable donations	None	100%		
Community involvement	None	100%		
Neighborhood safety	Good	100%		
Local economy	Stable	100%		
Public services	Good	100%		
Crime rate	Low	100%		
Healthcare access	Good	100%		
Education quality	Good	100%		
Job market	Stable	100%		
Infrastructure	Good	100%		
Environment	Good	100%		
Culture	Good	100%		
History	Good	100%		
Geography	Good	100%		
Climate	Good	100%		
Nature	Good	100%		
Wildlife	Good	100%		
Conservation	Good	100%		
Science	Good	100%		
Technology	Good	100%		
Innovation	Good	100%		
Research	Good	100%		
Development	Good	100%		
Progress	Good	100%		
Future	Good	100%		
Hope	Good	100%		
Optimism	Good	100%		
Positivity	Good	100%		
Confidence	Good	100%		
Trust	Good	100%		
Respect	Good	100%		
Kindness	Good	100%		
Generosity	Good	100%		
Compassion	Good	100%		
Empathy	Good	100%		
Understanding	Good	100%		
Patience	Good	100%		
Forgiveness	Good	100%		
Humility	Good	100%		
Modesty	Good	100%		
Shyness	Good	100%		
Introversion	Good	100%		
Extroversion	Good	100%		
Social skills	Good	100%		
Communication	Good	100%		
Interpersonal	Good	100%		
Relationships	Good	100%		
Friendships	Good	100%		
Love	Good	100%		
Marriage	Good	100%		
Family	Good	100%		
Children	Good	100%		
Parenting	Good	100%		
Education	Good	100%		
Teaching	Good	100%		
Learning	Good	100%		
Knowledge	Good	100%		
Wisdom	Good	100%		
Experience	Good	100%		
Skills	Good	100%		
Talents	Good	100%		
Abilities	Good	100%		
Strengths	Good	100%		
Weaknesses	Good	100%		
Flaws	Good	100%		
Defects	Good	100%		
Imperfections	Good	100%		
Limitations	Good	100%		
Constraints	Good	100%		
Barriers	Good	100%		
Obstacles	Good	100%		
Challenges	Good	100%		
Problems	Good	100%		
Difficulties	Good	100%		
Struggles	Good	100%		
Trials	Good	100%		
Tests	Good	100%		
Exams	Good	100%		
Quizzes	Good	100%		
Assessments				